

SIPE  
JUN 13 2001  
C183  
PATENT & TRADEMARK OFFICE

#3  
Attorney's Docket No.: 4034-57

Serial No. 09/779,114  
Filed February 8, 2001

· DECLARATION FOR PATENT APPLICATION  
· SOLE OR JOINT

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention titled:

**SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO SOTCK OPTION AND PURCHASE PLANS**  
the specification of which is attached hereto.

I HEREBY STATE THAT I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS.

I ACKNOWLEDGE THE DUTY TO DISCLOSE INFORMATION WHICH IS MATERIAL TO THE EXAMINATION OF THIS APPLICATION IN ACCORDANCE WITH TITLE 37, CODE OF FEDERAL REGULATIONS, §1.56(a).

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Prior Foreign Application(s)

(Number)	(Country)	(Day/Month/Year Filed)	Priority Claimed	
			<input type="checkbox"/>	Yes
			<input type="checkbox"/>	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed below and, INsofar AS THE SUBJECT MATTER OF EACH OF THE CLAIMS OF THIS APPLICATION IS NOT DISCLOSED IN THE PRIOR UNITED STATES APPLICATION IN THE MANNER PROVIDED BY THE FIRST PARAGRAPH OF TITLE 35, UNITED STATES CODE, §112, I ACKNOWLEDGE THE DUTY TO DISCLOSE MATERIAL INFORMATION AS DEFINED IN TITLE 37, CODE OF FEDERAL REGULATIONS, §1.56(a) WHICH OCCURRED BETWEEN THE FILING DATE OF THE PRIOR APPLICATION AND THE NATIONAL OR PCT INTERNATIONAL FILING DATE OF THIS APPLICATION:

US 60/182,399 (Application Serial Number)	14 February 2000 (Filing Date)	Abandoned (STATUS: Patented, Pending, Abandoned)
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(LIST SENIOR PATENT COUNSEL AND ATTORNEY HANDLING CASE WITH PATENT OFFICE REGISTRATION NUMBERS.)

Leslie Gladstone Restaino, Reg. No. 38,893  
Seth H. Ostrow, Reg. No. 37,410  
Jonathan T. Kaplan, Reg. No. 38,935  
Matthew J. Marquardt, Reg. No. 40,997  
Michael Malish, Reg. No. 41,968  
Frederick Yu, Reg. No. 45,251  
James W. Woods, Reg. No. 47,184

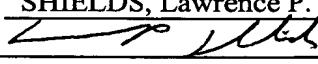
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Ralph F. Hoppin, Reg. No. 38,494  
Katrine A. Levin, Reg. No. 41,941  
Silvana Merlino, Reg. No. 44,237  
Brooke W. Quist, Reg. No. 45,030  
Mauri Aven, Reg. No. 42,275

SEND CORRESPONDENCE TO: Brown Raysman Millstein Felder & Steiner LLP  
55 Madison Avenue, 4<sup>th</sup> Floor  
Morristown, New Jersey 07960

DIRECT TELEPHONE CALLS TO: Leslie Gladstone Restaino, Esq.  
(973) 285-3242

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF JOINT INVENTOR SHIELDS, Lawrence P.

INVENTOR'S SIGNATURE 

Date 5/16/01

RESIDENCE Brooklyn, New York, United States of America (County of Kings)

CITIZENSHIP United States of America

POST OFFICE ADDRESS 60 Pineapple Street

Brooklyn, New York 11201, United States of America

**SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO  
STOCK OPTION AND PURCHASE PLANS****ADDED PAGE TO COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR SIGNATURE BY JOINT INVENTORS ON BEHALF OF NON-SIGNING  
INVENTORS WHO REFUSE TO SIGN OR CANNOT BE REACHED (37 C.F.R. 1.47(a))**

I, Lawrence P. Shields, am a joint inventor for the above patent application and have signed this application on my own behalf. I am also signing this declaration under 37 C.F.R. 1.47(a) on behalf of the non-signing joint inventors, particulars for whom are:

Keith Carsten  
1009 Barrenger Drive  
Danville, California 94506

Robert H. Maurer  
2 Crabtree Lane  
Levittown, New York 11756

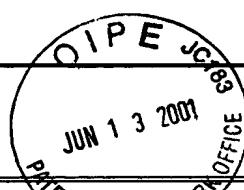
Michael Cranor  
1705 Blackjack Drive  
Round Rock, Texas 78681

Accompanying this declaration is a Petition under 37 C.F.R. 1.47(a) in Support of Filing on Behalf of Non-Signing Inventors and the petition fee of \$130.00.

Lawrence P. Shields

Date

6/4/01



# DECLARATION FOR PATENT APPLICATION SOLE OR JOINT

Attorney's Docket No.: 4034-57

Serial No. 09/779,114

Filed February 8, 2001

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Frederick Yu, Reg. No. 45,251  
James W. Woods, Reg. No. 47,184

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Ralph F. Hoppin, Reg. No. 38,494  
Katrine A. Levin, Reg. No. 41,941  
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Brooke W. Quist, Reg. No. 45,030  
Mauri Aven, Reg. No. 42,275

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FULL NAME OF JOINT INVENTOR BHARGAVA, Amod

INVENTOR'S SIGNATURE Amod Bhargava Date 5/18/01

RESIDENCE North Andover, Massachusetts, United States of America (County of Essex)

CITIZENSHIP India

POST OFFICE ADDRESS 22 Ridge Way

North Andover, Massachusetts 01845, United States of America

**DECLARATION FOR PATENT APPLICATION  
SOLE OR JOINT**

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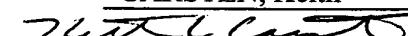
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FULL NAME OF JOINT INVENTOR CARSTEN, Keith

INVENTOR'S SIGNATURE  Date 6/4/01

RESIDENCE Danville, California, United States of America (County of Contra Costa)

CITIZENSHIP United States of America

POST OFFICE ADDRESS 1009 Barrenger Drive

Danville, California 94506, United States of America

## DECLARATION FOR PATENT APPLICATION—SOLE OR JOINT (Continued)

Attorney's Docket No.: 4034-57 PCT - Page 11

Serial No. 09/779,114

Filed February 8, 2001

**SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO  
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INVENTORS WHO REFUSE TO SIGN OR CANNOT BE REACHED (37 C.F.R. 1.47(a))**

I, Keith Carsten, am a joint inventor for the above patent application and have signed this application on my own behalf. I am also signing this declaration under 37 C.F.R. 1.47(a) on behalf of the non-signing joint inventors, particulars for whom are:

Robert H. Maurer  
2 Crabtree Lane  
Levittown, New York 11756

Michael Cranor  
1705 Blackjack Drive  
Round Rock, Texas 78681

Accompanying this declaration is a Petition under 37 C.F.R. 1.47(n) in Support of Filing on Behalf of Non-Signing Inventors and the petition fee of \$130.00.

Keith Carsten

Keith Carsten

6/15/01

Date

O I P E JC183  
13 2001  
DECLARATION FOR PATENT APPLICATION  
SOLE OR JOINTO I P E JC183  
JUN 13 2001  
U. S. PATENT & TRADEMARK OFFICE

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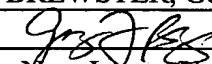
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55 Madison Avenue, 4<sup>th</sup> Floor  
Morristown, New Jersey 07960DIRECT TELEPHONE CALLS TO: Leslie Gladstone Restaino, Esq.  
(973) 285-3242

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FULL NAME OF JOINT INVENTOR BREWSTER, George

INVENTOR'S SIGNATURE 

Date 5/16/01

RESIDENCE Chatham Township, New Jersey, United States of America (County of Morris)

CITIZENSHIP United States of America

POST OFFICE ADDRESS 44 Meyersville Road

Chatham Township, New Jersey 07028, United States of America

**SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO  
STOCK OPTION AND PURCHASE PLANS****ADDED PAGE TO COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR SIGNATURE BY JOINT INVENTORS ON BEHALF OF NON-SIGNING  
INVENTORS WHO REFUSE TO SIGN OR CANNOT BE REACHED (37 C.F.R. 1.47(a))**

I, George Brewster, am a joint inventor for the above patent application and have signed this application on my own behalf. I am also signing this declaration under 37 C.F.R. 1.47(a) on behalf of the non-signing joint inventors, particulars for whom are:

Keith Carsten  
1009 Barrenger Drive  
Danville, California 94506

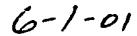
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1705 Blackjack Drive  
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George Brewster



Date

U.S. PATENT & TRADEMARK OFFICE  
JUN 13 2001  
S P E C I A L

Attorney's Docket No.: 4034-57

Serial No. 09/779,114  
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FULL NAME OF JOINT INVENTOR HUMZA, James A.

INVENTOR'S SIGNATURE 

Date 5/16/01

RESIDENCE Skillman, New Jersey, United States of America (County of Somerset)

CITIZENSHIP United States of America

POST OFFICE ADDRESS 4 Moselem Springs Court

Skillman, New Jersey 08553, United States of America

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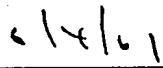
I, James A. Humza, am a joint inventor for the above patent application and have signed this application on my own behalf. I am also signing this declaration under 37 C.F.R. 1.47(a) on behalf of the non-signing joint inventors, particulars for whom are:

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As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention titled:

**SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO SOTCK OPTION AND PURCHASE PLANS**  
the specification of which is attached hereto.

I HEREBY STATE THAT I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS.

I ACKNOWLEDGE THE DUTY TO DISCLOSE INFORMATION WHICH IS MATERIAL TO THE EXAMINATION OF THIS APPLICATION IN ACCORDANCE WITH TITLE 37, CODE OF FEDERAL REGULATIONS, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

(Number)	(Country)	(Day/Month/Year Filed)	Priority Claimed
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed below and, INSOFAR AS THE SUBJECT MATTER OF EACH OF THE CLAIMS OF THIS APPLICATION IS NOT DISCLOSED IN THE PRIOR UNITED STATES APPLICATION IN THE MANNER PROVIDED BY THE FIRST PARAGRAPH OF TITLE 35, UNITED STATES CODE, §112, I ACKNOWLEDGE THE DUTY TO DISCLOSE MATERIAL INFORMATION AS DEFINED IN TITLE 37, CODE OF FEDERAL REGULATIONS, §1.56(a) WHICH OCCURRED BETWEEN THE FILING DATE OF THE PRIOR APPLICATION AND THE NATIONAL OR PCT INTERNATIONAL FILING DATE OF THIS APPLICATION:

US 60/182,399 (Application Serial Number)	14 February 2000 (Filing Date)	Abandoned (STATUS: Patented, Pending, Abandoned)

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected herewith (List name and registration number).

(LIST SENIOR PATENT COUNSEL AND ATTORNEY HANDLING CASE WITH PATENT OFFICE REGISTRATION NUMBERS.)

Leslie Gladstone Restaino, Reg. No. 38,893  
Seth H. Ostrow, Reg. No. 37,410  
Jonathan T. Kaplan, Reg. No. 38,935  
Matthew J. Marquardt, Reg. No. 40,997  
Michael Malish, Reg. No. 41,968  
Frederick Yu, Reg. No. 45,251  
James W. Woods, Reg. No. 47,184

Frank J. DeRosa, Reg. No. 26,543  
Pamela G. Maher, Reg. No. 40,712  
Ralph F. Hoppin, Reg. No. 38,494  
Katrine A. Levin, Reg. No. 41,941  
Silvana Merlini, Reg. No. 44,237  
Brooke W. Quist, Reg. No. 45,030  
Mauri Aven, Reg. No. 42,275

SEND CORRESPONDENCE TO: Brown Raysman Millstein Felder & Steiner LLP  
55 Madison Avenue, 4<sup>th</sup> Floor  
Morristown, New Jersey 07960

DIRECT TELEPHONE CALLS TO: Leslie Gladstone Restaino, Esq.  
(973) 285-3242

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF JOINT INVENTOR MOONEY, James P.

INVENTOR'S SIGNATURE James P. Mooney

Date May 16, 2001

RESIDENCE River Vale, New Jersey, United States of America (County of Bergen)

CITIZENSHIP United States of America

POST OFFICE ADDRESS 105 Coopers Lane

River Vale, New Jersey 07675, United States of America

**SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO  
STOCK OPTION AND PURCHASE PLANS****ADDED PAGE TO COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR SIGNATURE BY JOINT INVENTORS ON BEHALF OF NON-SIGNING  
INVENTORS WHO REFUSE TO SIGN OR CANNOT BE REACHED (37 C.F.R. 1.47(a))**

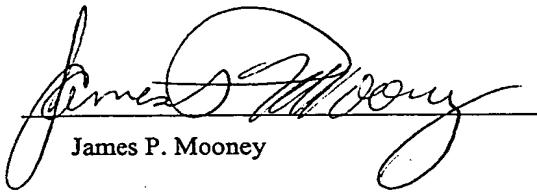
I, James P. Mooney, am a joint inventor for the above patent application and have signed this application on my own behalf. I am also signing this declaration under 37 C.F.R. 1.47(a) on behalf of the non-signing joint inventors, particulars for whom are:

Keith Carsten  
1009 Barrenger Drive  
Danville, California 94506

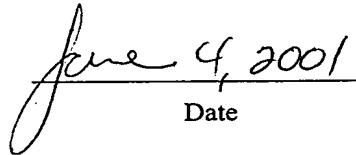
Robert H. Maurer  
2 Crabtree Lane  
Levittown, New York 11756

Michael Cranor  
1705 Blackjack Drive  
Round Rock, Texas 78681

Accompanying this declaration is a Petition under 37 C.F.R. 1.47(a) in Support of Filing on Behalf of Non-Signing Inventors and the petition fee of \$130.00.



James P. Mooney



Date